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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY****NPR 9680.1B**Effective Date: August 13,  
2015Expiration Date: August 13,  
2020[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

## **Subject: NASA's Grants and Cooperative Agreements Advance Payments**

**Responsible Office: Office of the Chief Financial Officer**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#)

## **Preface**

### **P.1 Purpose**

a. These NASA Procedural Requirements (NPR) establish requirements for the financial management of advance payments to other than commercial recipients for grants and cooperative agreements and the suspension or termination of advance payments when determined appropriate.

b. Grants and cooperative agreements refer to agreements as defined in 31 United States Code (U.S.C.) §§6304-6305 and 2 Code of Federal Regulation (CFR) §§200.24 and 200.51. These citations delineate a grant and cooperative agreement from a procurement contract based upon the principal purpose. A grant or cooperative agreement's principal purpose is to transfer a thing of value to the state or local government or other recipient to carry out a public purpose; whereas, a procurement contract's principal purpose is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the United States Government.

c. For other financial-related information, refer to 2 CFR §200 Subpart D; 2 CFR §1800; and the NASA Grant and Cooperative Agreement Manual.

### **P.2 Applicability**

a. This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Services Support Centers. This NPR applies to the Jet Propulsion Laboratory, a Federally Funded Research and Development Center, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate grants or cooperative agreements.

b. This NPR does not pertain to payments for grants and cooperative agreements with commercial recipients. Commercial recipients are paid in accordance with disbursing regulations and guidance, such as, Title 31 U.S.C., 31 CFR, and NPR 9631.1. Commercial firms are required to submit invoices. Payments, generally reimbursement payment method, are based on incurred costs when the commercial firm has a grant agreement or specific milestones when the commercial firm has a cooperative agreement. Refer to 14 CFR §1274.204 and 2 CFR 1800.305 for commercial grant guidance. If advance payments to a commercial recipient are warranted, NASA will use the policy established in the 48 CFR Subpart 32.4, Advance Payments for Non-Commercial Items and the 48 CFR Subpart 1832.4, Advance Payments for Non-Commercial Items, which contains NASA approval authorities for advance payments on contracts.

c. In this NPR, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.

d. In this NPR, all document citations are assumed to be the latest version unless otherwise noted.

### **P.3 Authority**

- a. Chief Financial Officers Act of 1990, 31 U.S.C. §902(a)(5).
- b. Procurement Contracts and Grant and Cooperative Agreements, 31 U.S.C. Chapter 63.
- c. National Aeronautics and Space Act, 51 U.S.C. §20113(e).

## **P.4 Applicable Documents and Forms**

- a. 31 U.S.C. §§6304-6305.
- b. Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR §200. (OMB Uniform Guidance.)
- c. NASA Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR §1800.
- d. 14 CFR §1274.204.
- e. Rules and Procedures for Efficient Federal-State Funds Transfers, 31 CFR Part 205.
- f. 48 CFR Subpart 32.4, Advance Payments for Non-Commercial Items.
- g. Treasury Financial Manual (TFM), Volume I, Part 4A, Chapter 2000 (I TFM 4A-2000), Overall Disbursing Rules for All Federal Agencies.
- h. 48 CFR Subpart 1832.4, Advance Payments for Non-Commercial Items. NPR 9010.3, Financial Management Internal Control.
- i. NASA Records Retention Schedules (NRRS) 1441.1.
- j. NASA Grant and Cooperative Agreement Manual (GCAM).

## **P.5 Measurement/Verification**

Quality assurance reviews and analysis of financial reports and data submitted through the continuous monitoring program will be used to measure compliance with this NPR. Funds control will be in place as required by NPR 9010.3.

## **P.6 Cancellation**

NPR 9680.1A, NASA's Managements of Grants and Cooperative Agreements, dated November 10, 2011.

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